



Education & Skills  
Funding Agency

# Funding Monitoring Reports: User Guide 2017 to 2018

## Version 2

Guidance for using the funding monitoring reports for the  
2017 to 2018 funding year (1 August 2017 to 31 July 2018)

**March 2018**

Of interest to colleges, training organisations and employers.

## Contents

|  |    |
|--|----|
| Understanding the terminology .....                          | 2  |
| Changes to version 1 of this guidance .....                  | 2  |
| Introduction .....   | 2  |
| Useful links.....  | 3  |
| Purpose of this user guide.....                              | 4  |
| How we will use this data .....                              | 4  |
| What you must do .....                                       | 5  |
| Using the Learner Record Service (LRS) .....                 | 6  |
| Accessing the reports.....                                   | 7  |
| Summary page .....   | 7  |
| Selecting a report to review .....                           | 8  |
| Report layout.....   | 8  |
| Exporting data .....   | 10 |
| Further support.....   | 10 |
| Annex A: Screenshots of the BIRST reports .....              | 11 |
| Annex B: The BIRST reports in detail.....                    | 14 |
| Annex C: A list of all the fields in the BIRST reports ..... | 34 |

## **Understanding the terminology**

1. The terms 'we' and 'ESFA' refer to the 'Education and Skills Funding Agency' and associated staff.
2. When we refer to 'you' or 'providers', this includes colleges, training organisations, local authorities and employers that receive funding from us, or Advanced Learner Loans (loans) payments from the Student Loans Company (SLC) on behalf of learners, to deliver education and training.

## **Changes to version 1 of this guidance**

3. We have added a new report (number 30) to the plan, explained on page 33.

## **Introduction**

4. We monitor the data reported to us in the Individualised Learner Record (ILR) as part of our assurance work. This includes reviewing data from other sources such as the Earnings Adjustment Statement (EAS), the apprenticeship service (AS), and Student Loans Company (SLC).
5. We review how the funding system and funding rules are operating to identify possible errors in funding claimed and areas requiring further investigation. The outcomes of this also allow us to confirm that policy specifications are working and achieving the desired outcome(s). As part of this process, we also aim to improve the overall quality of the data being reported to us.
6. We support colleges, training organisations and employers to resolve data issues throughout the funding year by:
  - a. Publishing articles in Update and Inform to draw attention to particular issues.
  - b. Producing technical guidance notes to advise on how you should record data in the ILR returns to reflect the evidence you hold.

- c. Providing rule violation reports that you receive each time you make a data submission through [the Hub](#).
  - d. Contacting those providers who have the most issues, or the most issues in proportion to the volumes of learners they have, to better understand their processes and to offer advice and guidance where necessary.
7. The suite of funding monitoring reports we provide in BIRST (our business intelligence tool to produce and view interactive dashboards) supports the [2017 to 2018 monitoring plan](#). These reports do not replace the [provider data self-assessment toolkit \(PDSAT\)](#): you must continue to use the PDSAT to review data returns and correct any issues before your next ILR data submission. The two sets of reports are designed with some overlap to highlight any necessary corrections.

## Useful links

8. For further information on our monitoring work, please refer to:
- [ESFA financial assurance: monitoring the funding rules](#)
  - [Adult education budget funding rules 2017 to 2018](#)
  - [Advanced learner loans funding rules 2017 to 2018](#)
  - [Apprenticeship funding and performance management rules 2017 to 2018](#)
  - [Apprenticeship technical funding guide for starts from May 2017](#)
  - [ILR specification, validation rules and appendices 2017 to 2018](#)
  - [Provider support manual 2017 to 2018](#)
  - [Learner Registration Bodies user guide](#)

## Purpose of this user guide

9. This user guide provides an introduction to BIRST and the suite of funding monitoring reports. It details specific guidance and the processes you must follow in order to ensure compliance with the funding rules for each area of the funding monitoring plan. For each report we have indicated the actions we will take if we are not satisfied your data is in compliance with the rules. Full details of the available reports are listed in [Annex B](#).
10. This user guide is for those who have a working knowledge of the funding rules and the key principles of funding. It also assumes a working knowledge of the ILR, including the field names and codes and their impact on funding.
11. If you require any further guidance, please contact the service desk. You can also access peer-to-peer support from the sector through the [FE Connect](#) forum.

## How we will use this data

12. We monitor the data submitted through the ILR, and the other data collections noted earlier, throughout the funding year and share this with our auditors and intervention colleagues when appropriate.
13. If you have data errors following the closure of the R14 ILR return at the end of the funding year, we may:
  - recover funding where we are confident the claim has been made in error; and/or
  - conduct assurance visits for specific issues before the end-of-year reconciliation statements are issued.
14. If you have been subject to repeated action or a funding recovery, this will raise your risk profile with us and will increase the likelihood of your organisation being selected for audit.

## What you must do

15. If we have identified records in a monitoring area, you must review this data to determine whether you need to make any data corrections in your next ILR submission. Details of actions you must take are contained in [Annex B](#).
16. You must also refer to the specific funding rules and ILR guidance relating to each report. This guidance is included in the monitoring plan and, in some cases, is explicit about what you must do, and what is ineligible for funding. For example, if you were reviewing issues in report 6 'Changes to 'Learning planned end date' between years', the monitoring plan references the [provider support manual](#) which states that you must not change this data between years. The support manual also tells you the process for correcting data errors after the hard close for the previous year, and the legitimate reasons for doing so.
17. Where there is an explicit statement of the action you must take within the funding rules, ILR guidance or this document, then you must comply with this guidance. Failure to do so may result in a funding recovery or additional assurance activities being undertaken to determine the eligibility of the funding claim.
18. If you have been contacted by us and are advised to correct data, or we have published technical guidance through channels such as Update or Inform, then you must ensure this is corrected by the close of the R14 ILR data return.
19. If you believe the data and funding claim are correct, you must ensure that you have the evidence to support this, ensuring any subcontractors also meet this requirement. We may ask you to present this evidence to us for assurance purposes; you must be prepared to provide this to us in a timely manner.
20. You must ensure that you have sufficiently robust processes in place to allow you to review the activity of any subcontractors, particularly where we have identified that learning may be duplicated across multiple providers or that your subcontractor delivered any previous learning to the learners in question.

21. You do not need to take any action for areas with 0 records identified on the summary page in the BIRST report. This means that we have not identified any records in that area of the monitoring plan.
22. A report indicating you have claimed £0 funding for the records identified may still need to be actioned as this may relate to components funded as part of an apprenticeship programme. If no funding is being claimed, the learning aim must be reported under funding model '99'.

## **Using the Learner Record Service (LRS)**

23. When a learner enrolls with you and declares their prior attainment, you must validate this against the data in the personal learning record (PLR) on the LRS. If the LRS contradicts the self-declaration, you must question the information supplied by the learner as it does not automatically override the self-declaration.
24. The PLR is populated by three main sources:
  - national pupil database (NPD)
  - awarding organisations (AOs)
  - providers' ILR returns (ILR)
25. The LRS includes a 'participation end date' for data supplied from ILR returns, which can be used where no award date has been returned. This date will be the same as the 'learning actual end date' supplied by the provider in their ILR return.
26. If no award date is returned, you must still obtain evidence to confirm whether the learning was achieved. This could be by contacting the learner or the previous provider. If the learner does not grant you permission to view their record, you should seek alternative evidence to confirm the learning was not achieved.

## Accessing the reports

27. Nominated users can access this suite of reports through the Hub using the 'BI Tools' tab; this takes you to BIRST. If you already have access to the Hub, you can request access to these reports through your nominated super user. If you are a user with access to qualification achievement rate (QAR) reports, you can already access the reports through your business intelligence dashboard user roles. For further guidance, please refer to [The Hub: Guide to User Roles](#).
28. You do not need to download any additional software to run these reports. Further guidance on using BIRST is available in the 'My BI guide to dashboards' page in BIRST (this is the first page you see when you open BIRST).
29. We will refresh reports each month once the ILR submission date passes and we have concluded our assurance processes on the data. The [ILR freeze schedule 2017 to 2018](#) indicates when we expect data to become available in BIRST each month.
30. Once you have logged into the Hub and clicked on the 'BI Tools' tab, you can access the reports by selecting 'Dashboards' from the default homepage. Once this has loaded, you can click on the title of the collection currently viewed, and select 'Funding rules monitoring 1718' from the menu ([Annex A: figure 1](#)).
31. We designed the reports to work with most internet browsers although we recommend Google Chrome or Mozilla Firefox for optimum viewing experience.
32. We have kept a separate dashboard if you need to refer to previous years' data.

## Summary page

33. The summary page provides you with a list of all the areas of the funding rules monitoring plan for which a report has been produced. This list includes a summary of the data in each report including cash values ([Annex A: figure 2](#)). If a learning aim is recorded in multiple queries, we only count the aim and cash value once when calculating summary page data.



- 34. The top of the summary page includes the number of queries we identified compared to the total number of aim records you reported to us in that period.
- 35. The summary page now also shows you the number of queries identified compared to the number of valid learning aim records submitted for each funding line (previously this was accessed on a separate page).
- 36. The summary page defaults to show data from the most recent ILR return. Changing the return filter on the summary page also changes the data returned in each report. This allows you to track progress against areas of the monitoring plan throughout the year.
- 37. The 'Guidance' link takes you to a summarised version of the guidance for correcting data in this document.
- 38. We have numbered the reports as they appear in [Monitoring the funding rules 2017 to 2018](#). We group the reports by policy area so it is easier to investigate related issues.

## Selecting a report to review

- 39. We have removed the links on the summary page following changes to improve the performance of the reports. However, users can continue to access individual reports' data by selecting from the drop-down menu at the top of the summary page (see [Annex A: figure 3](#)).

## Report layout

- 40. Each report contains a set of fields, providing sufficient data for you to identify specific records within your own system. Some fields are common to all reports; you can sort and filter by any field (see [Annex A: figure 4](#)).
- 41. In most cases, the fields in the reports match the fields in the ILR specification. The data returned in these reports will be the data you submit each month.

42. Where you have not submitted any data in a particular field, the relevant cell(s) will show '(is missing)'. Once the data is exported to Excel, these cells will show as blank and are NULL values.
43. We have included year-to-date funding values in most reports, with some exceptions where funding is not calculated or reported in that way (for example, advanced learner loans). For some funding streams this value will be calculated on monthly profiled earnings, for others (such as apprenticeship starts since 1 May 2017) it represents the actual payments calculated and made.
44. We have included details of the outcome grade supplied by the previous provider in some reports where we are comparing existing provision to previous achievements. The definitions of these grades can be found in [ILR specification 2017 to 2018 appendix Q](#). In some cases, the report may specify an outcome grade of 'NA': this is where there is no grade because this data was not returned by the provider and therefore corresponds to a 'NULL' value in the ILR.
45. Where we have run an analysis using the generic programme aim ('ZPROG001') we have not included the funding associated with individual component aims, which may mean the funding value appears as £0 (for example, apprenticeship frameworks on funding model 35), unless funding is directly associated with that aim (for example, for apprenticeships starting after 1 May 2017).
46. Where it is relevant for particular reports, we have provided additional 'supplementary' fields. This is because we may have compared the data you submit to previous or other providers' returns, or have derived data in that particular analysis. The full list of fields and the reports are in [Annex C](#).
47. Each row in every report is assigned a row identifier to support your analysis and aid any discussions you may need to have with us.
48. You can select cells in the report to apply filters, for example where you want to view all data relating to a particular learner or filter on a particular funding line. Because of this feature, you cannot copy and paste directly from the BIRST report, but you can export the data by following the guidance elsewhere in this document.

## Exporting data

49. To export data from a single report, or from the summary page tables, hover over the top right hand corner of the chart to see a curved downward arrow. Click on this to display 'Dashlet Actions'. Select 'Export As' then your chosen output type (see [Annex A: figure 5](#)). We recommend that you select 'Data to Excel' if you are going to compare report data to that held in your own systems.
50. The exported file will show all filtered rows. If no filter has been applied, the export will return all data in the report.

## Further support

51. There are blue buttons on the top right of each report that allow you to navigate back to the summary page or access further guidance relating to each report.
52. Within the guidance section, we have included a brief description of why we have identified records, and described what action you need to take. We will ensure that the data in each report is sufficient to understand, investigate and resolve any identified issues.
53. If you cannot access your reports, or are unsure how to resolve any identified issues, please contact your provider management contact. You can also access support from the sector using the [FE Connect](#) forum. We will publish technical guidance periodically through [Inform](#) and [Update](#).

# Annex A: Screenshots of the BIRST reports

Figure 1: Collections listing

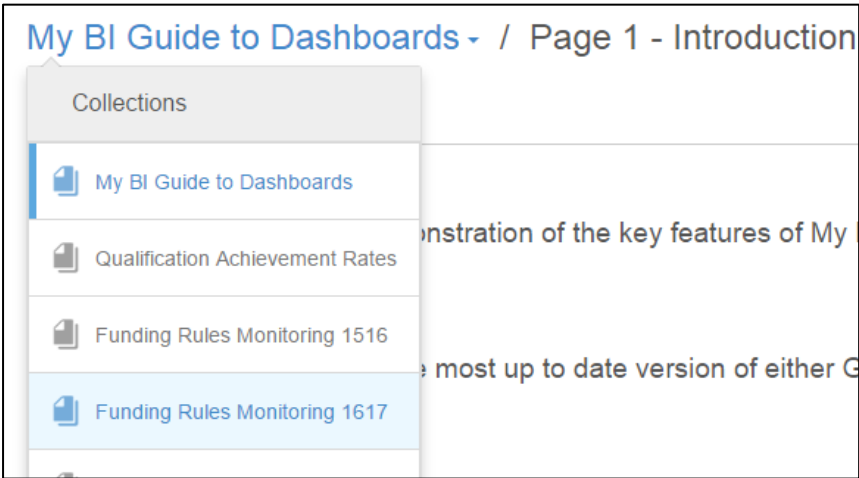


Figure 2: summary screen

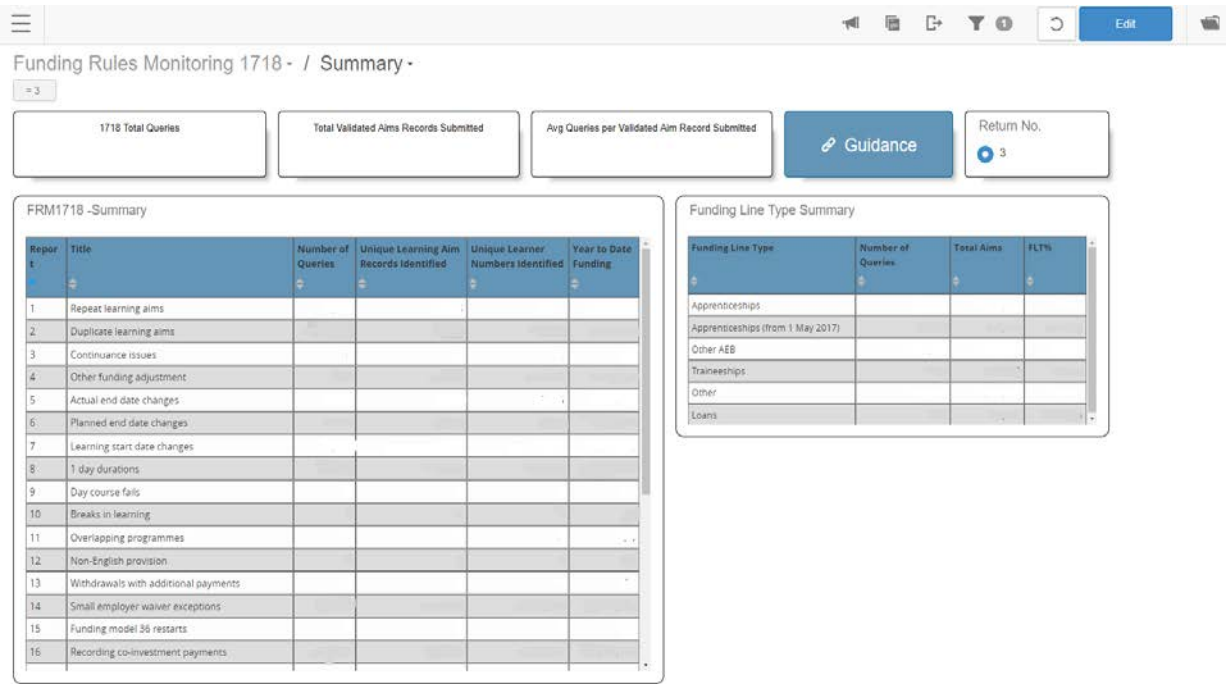


Figure 3: Drop down menu

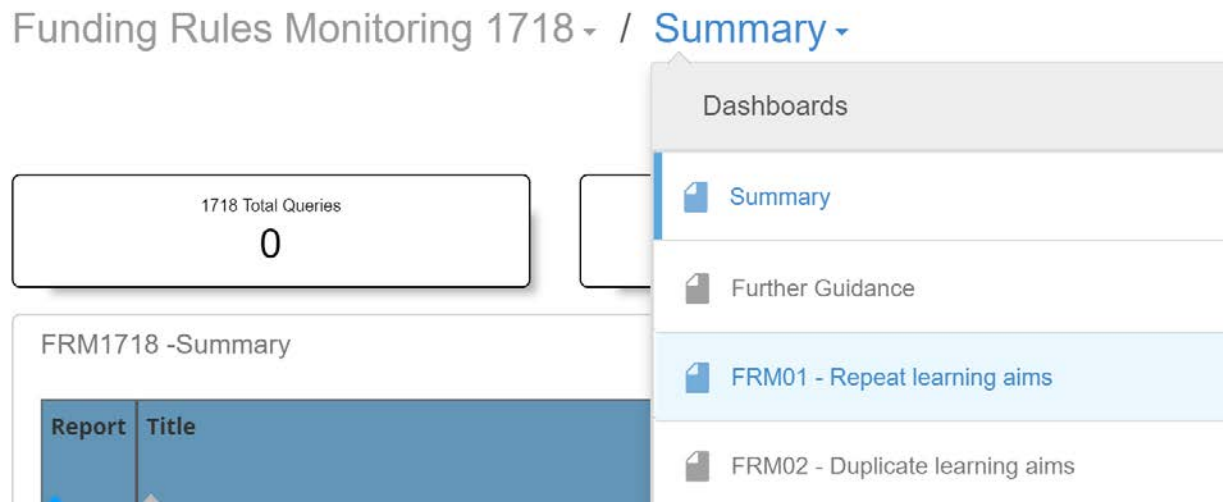


Figure 4: report layout

Funding Rules Monitoring 1718 - / FRM01 - Repeat learning aims

Summary Guidance

| Return | Report ID | UK Provider Reference Number | Organisation Name                     | Subcontracted or Partnership UKPRN | Subcontracted or Partnership Organisation Name | Unique Learner Number | Learner Reference Number | Learning Aim Reference | Aim Sequence Number | Software Supplier Aim Identifier       | Provider Specific Delivery Monitoring |
|--------|-----------|------------------------------|---------------------------------------|------------------------------------|--|-----------------------|--------------------------|------------------------|---------------------|--|---------------------------------------|
| 2      | 2790      | 10031241                     | ASPIRE ACHIEVE ADVANCE LIMITED        | (is missing)                       | (is missing)                                   | 1557549508            | 1296RS112825             | 60134240               | 1                   | 6400FABD-F27C-4D3F-AB18-71B5F8B08E4    | (is missing)                          |
| 2      | 2791      | 10031241                     | ASPIRE ACHIEVE ADVANCE LIMITED        | (is missing)                       | (is missing)                                   | 5818904198            | 1296RS112826             | 60134240               | 1                   | 12B1E725-97D9-4D0B-884C-88C6164D047D   | (is missing)                          |
| 2      | 2784      | 10031241                     | ASPIRE ACHIEVE ADVANCE LIMITED        | (is missing)                       | (is missing)                                   | 1266566197            | 1296RS112827             | 60134240               | 1                   | 16EE3E00-AAD5-4DB3-8161-C416AA7F5351   | (is missing)                          |
| 2      | 2788      | 10031241                     | ASPIRE ACHIEVE ADVANCE LIMITED        | (is missing)                       | (is missing)                                   | 5911149256            | 1296RS112831             | 60134240               | 1                   | 18D7F492-9422-4C7C-8C16-35F2161605D7   | (is missing)                          |
| 2      | 617       | 10002143                     | EASTLEIGH COLLEGE                     | 10022301                           | LEARNING & SKILLS SOLUTIONS LIMITED            | 8350637381            | MOR16003840              | 50092959               | 1                   | 8B2EC14E-66A5-4A7E-8C8B-48077022CDF7   | FSFME3 QRPLS                          |
| 2      | 618       | 10002143                     | EASTLEIGH COLLEGE                     | 10022301                           | LEARNING & SKILLS SOLUTIONS LIMITED            | 8350637381            | MOR16003840              | 50092959               | 1                   | 8B2EC14E-66A5-4A7E-8C8B-48077022CDF7   | FSFME3 QRPLS                          |
| 2      | 1762      | 10006463                     | SWINDON COLLEGE                       | (is missing)                       | (is missing)                                   | 1607733063            | 172331                   | 60171790               | 1                   | 0b34ac70-de6a-4120-83d3-e276-b9963d9f3 | MFN6                                  |
| 2      | 2904      | 10039859                     | ACADEMY TRANSFORMATION TRUST          | (is missing)                       | (is missing)                                   | 5105394789            | 000000010855             | 60099100               | 1                   | (is missing)                           | ST7LB14C008                           |
| 2      | 1503      | 10005586                     | RUTLAND COUNTY COUNCIL                | (is missing)                       | (is missing)                                   | 5409163248            | 000000029154             | 50093198               | 1                   | (is missing)                           | ACB9                                  |
| 2      | 1505      | 10005586                     | RUTLAND COUNTY COUNCIL                | (is missing)                       | (is missing)                                   | 7242348276            | 000000029378             | 50093198               | 1                   | (is missing)                           | AEB9                                  |
| 2      | 1504      | 10005586                     | RUTLAND COUNTY COUNCIL                | (is missing)                       | (is missing)                                   | 1671938991            | 000000030320             | 50109868               | 1                   | (is missing)                           | ACB8                                  |
| 2      | 2082      | 10017522                     | WALTHAM FOREST LONDON BOROUGH COUNCIL | (is missing)                       | (is missing)                                   | 7516776970            | 000000058851             | 60133600               | 1                   | (is missing)                           | QR9P858-3UA                           |
| 2      | 2086      | 10007322                     | WALTHAM FOREST LONDON BOROUGH COUNCIL | (is missing)                       | (is missing)                                   | 5548061738            | 000000060303             | 60133600               | 1                   | (is missing)                           | QR9P858-4UA                           |
| 2      | 1113      | 10004285                     | MEDWAY COUNCIL                        | (is missing)                       | (is missing)                                   | 5203779693            | 000000074684             | 50109868               | 1                   | (is missing)                           | R14103317T                            |
| 2      | 1117      | 10004285                     | MEDWAY COUNCIL                        | (is missing)                       | (is missing)                                   | 1304560367            | 000000102128             | 50109868               | 1                   | (is missing)                           | R14104517F                            |
| 2      | 1115      | 10004285                     | MEDWAY COUNCIL                        | (is missing)                       | (is missing)                                   | 1394715144            | 000000105554             | 50109868               | 1                   | (is missing)                           | R14104517F                            |
| 2      | 1108      | 10004285                     | MEDWAY COUNCIL                        | (is missing)                       | (is missing)                                   | 7250723331            | 000000105946             | 50109868               | 1                   | (is missing)                           | R14103317F                            |
| 2      | 1116      | 10004285                     | MEDWAY COUNCIL                        | (is missing)                       | (is missing)                                   | 2627992413            | 000000107220             | 50093198               | 1                   | (is missing)                           | R14104517F                            |
| 2      | 1114      | 10004285                     | MEDWAY COUNCIL                        | (is missing)                       | (is missing)                                   | 5316153498            | 000000107222             | 50109868               | 1                   | (is missing)                           | R14103317T                            |
| 2      | 1111      | 10004285                     | MEDWAY COUNCIL                        | (is missing)                       | (is missing)                                   | 4670217061            | 000000107754             | 50109868               | 1                   | (is missing)                           | R14103317T                            |

Figure 5: exporting data

Summary

Guidance

| Item Reference Number | Learning Aim Reference | Aim Sequence Number | Software Supplier                   |
|-----------------------|------------------------|---------------------|-------------------------------------|
| RS112825              |                        |                     |                                     |
| RS112826              |                        |                     |                                     |
| RS112827              |                        |                     |                                     |
| RS112831              |                        |                     |                                     |
| 16003840              |                        |                     | 4A7E-8C8B-E8077022CDF7 FSEME3 QRPLS |
| 16003840              |                        |                     | 4A7E-8C8B-E8077022CDF7 FSEME3 QRPLS |
| 31                    |                        |                     | 4120-83d3-e267b3963d93 MENG         |
| 00010855              |                        |                     | S17LB14C008                         |
| 00029154              |                        |                     | AEB9                                |

PDF

PDF (with Details)

Data to Excel

Data to Excel (Details)

Explore in Visualizer

Export As

Create Notification

## Annex B: The BIRST reports in detail

The following areas of the published monitoring plan have been included in the new suite of reports. We have identified the relevant dataset when using multiple sets of data.

| Report number and name  | Report logic   | Exclusions  | Action you must take  | Action we will take   |
|---|--|---|---|---|
| <b>1.</b><br><b>Learners repeating a learning aim they have already achieved</b><br><br><b>BIRST NAME:</b><br><b>Repeat learning aims</b> | All new or continuing learning aims where the following match:<br><br>‘ULN’<br><b>And</b> ‘Learning aim reference’<br><br><b>And</b> the ‘Learning actual end date’ of the previous instance is on or after 01/08/2015<br><b>And</b> the ‘Learning start date’ is after the ‘Learning actual end date’ of the previous instance<br><b>And</b> the ‘Outcome’ of the previous instance is 1 (achieved) | Programme aims<br><br>Non-regulated provision<br><br>Generic ULNs ('9999999999')<br><br>GCSEs where outcome grade was not A* to C (or 4 to 9) | You should check that data such as the Learning aim reference or ULN has been recorded correctly. You must then use the LRS and check with the learner where they have not declared previous learning to you, retaining evidence of this.<br>If you confirm the learner has achieved the learning aim in question, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the previous instance of the learning aim, you <b>MUST</b> take the action specified:<br><ul style="list-style-type: none"> <li>For apprenticeships starting on or after 1 May 2017, funds in digital accounts or government-employer co-investment must not be used for any identified errors. The negotiated price must reflect the prior learning identified.</li> <li>For learning aims funded by an advanced learner loan, the learner should not have been required to take out a loan for a qualification they have already achieved. You must remove the ADL flag from the learning aim record and contact the SLC to cancel the loan if the learner was required to take out a loan in error.</li> <li>For any other learning aims, this is a funding error and is ineligible. Qualifications that require periodic refreshing or contain different pathways are the responsibility of the employer or individual. You must correct this data by recoding the aims with Funding model code 99, or follow PSM guidance on correcting data errors after hard close or the previous year.</li> </ul> | For apprenticeships starting after 1 May 2017, we may ask you to provide evidence that the total negotiated price reflects the learner's prior learning. We may take further action if we are not satisfied the learner's prior attainment has been taken into account.<br><br>For other learning aims, failure to correct data where there is a UKPRN match will result in a funding recovery. |

| Report number and name   | Report logic  | Exclusions   | Action you must take  | Action we will take  |
|--|---|--|---|--|
| <b>2.</b><br><b>Duplicate learning aims being delivered at 2 or more providers</b><br><br><b>BIRST NAME:</b><br><b>Duplicate learning aims</b> | All learning aims where the following data matches between two providers:<br><br>'UKPRN'<br><b>And</b> 'ULN'<br><b>And</b> 'Learning aim reference'<br><br><b>And</b> the 'Learning start date' and 'Learning actual end' indicate learning has/is taking place simultaneously (overlap of provision) | Programme aims<br><br>Non-regulated provision<br><br>Generic ULNs ('9999999999') | <p>You should check that data such as learning start dates and/or learning actual end dates have been correctly reported and data is complete where learners have left learning.</p> <p>If you confirm the learner is undertaking the learning aim in question elsewhere, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the overlapping instance of the learning aim, you <b>MUST</b> take the action specified:</p> <ul style="list-style-type: none"> <li>• If you know that the learner(s) transferred or left learning with you, you must ensure withdrawals or transfers are reported to us in a timely manner, and report an accurate Learning actual end date.</li> <li>• You need to agree which learners belong to you and which belong to your subcontractors (or the other provider). For provision such as apprenticeships this should be identifiable from sources such as the contract for delivery between the provider and the employer.</li> <li>• You or the other provider must then agree who will correct records by coding the aims with Funding model code 99. If one of the providers cannot evidence that learning is being delivered, they must remove the learning aim record(s).</li> <li>• If a learner in receipt of an advanced learner loan changes provider during the learning aim they must inform the SLC and reapply to the SLC for a loan to continue their studies at the new provider.</li> </ul> <p>Where the learners have transferred to you through action by us (for example, termination of previous provider's contract) there is no action to take.</p> | Where there is a UKPRN match, we may investigate issues and take steps to recover funding. |



| Report number and name   | Report logic   | Exclusions   | Action you must take   | Action we will take   |
|--|--|--|--|---|
| <b>3.</b><br><b>Continuing learners from 2016 to 2017 who do not appear in the 2017 to 2018 ILR</b><br><br><b>BIRST NAME: Continuance issues</b> | <p>There is <b>no</b> 2017 to 2018 ILR record where data is joined using:<br/> 'UKPRN'<br/> <b>And</b> 'ULN'<br/> <b>And</b> 'Learner reference number'<br/> <b>And</b> 'Learning aim reference'<br/> <b>And</b> 'Learning start date'<br/> <b>And</b><br/> the 2016 to 2017 'Learning actual end date' is null<br/> <b>And</b> the 2016 to 2017 'Learning planned end date' is after 31 July 2017</p> | <p>UKPRNs who we no longer have a direct contract with</p>   | <p>The 2017 to 2018 ILR must include aims that are continuing (Completion status = 1 and Learning actual end date is null). If data is found to be incorrect after hard close (R14) of the previous year and the data is incorrect due to an administrative error, then the data should be corrected and continue to be returned in 2017 to 2018.</p> <p>If the learner was reported as continuing in 2017 to 2018, but has since been identified as having withdrawn before 1 August 2017, you must record the Learning actual end date as the last day the learner was in learning (this date will be in the previous ILR year: do not use 1 August 2017).</p> <p>For traineeship and apprenticeship programmes, the ILR must include the programme aim and all the associated component aims, even if the component aims are completed and closed.</p> <p>As this report involves a match on learning start date, you must check this report in conjunction with report 7 (changes to learning start date across years) and action accordingly.</p> | <p>Continuance issues will have a negative impact upon qualification achievement rates.</p> <p>Changes to the learning start date will result in the reporting of duplicate records, which is likely to have a negative impact upon QARs.</p> |
| <b>4.</b><br><b>Use of the 'Other funding adjustment' field</b><br><br><b>BIRST NAME: Other funding adjustment</b>                               | <p>All learning aims where:</p> <p>The value in the 'Other funding adjustment' field is not null <b>and</b> does not equal 100</p>   | <p>Former employer ownership pilot provision reported with the learning delivery monitoring code '351'</p> | <p>The 'Other funding adjustment' field must only be completed if agreed with us. If you cannot evidence being given permission by the ESFA to use this field, you must remove the data and ensure that any adjustment for prior learning is reported in the 'Funding adjustment for prior learning' field.</p>  | <p>We will ask you to provide evidence of why any values over 100 have been reported, and will recover any over claim of funding if we are satisfied the adjustment has been reported in error.</p>   |

| Report number and name  | Report logic   | Exclusions  | Action you must take   | Action we will take   |
|---|--|---|--|---|
| <b>5.</b><br><b>Changes to the 'Actual end date' between years</b><br><br><b>BIRST NAME:</b><br><b>Actual end date changes</b>                    | All learning aims where:<br>The 2016 to 2017 'Learning actual end date' reported at R14 is before 1 August 2017<br><b>And</b> the 2016 to 2017 'Completion status' reported at R14 is 2 <b>And</b> the 2017 to 2018 'Learning planned end date' is after 31 July 2017<br><b>And</b> the 2017 to 2018 'Learning actual end date' is null <b>or</b> after 31 July 2017   | Programme aims<br><br>Work placement aims<br><br>Non-regulated aims | You must not change or update the Learning actual end date between years, as this may affect the funding claimed. You must record the Learning actual end date that was reported in the previous funding year.<br><br>In the scenario where a learner undertakes an aim, finishes learning, takes the final assessment and fails, then this aim should be closed and recorded as not achieved. Where this learner is then identified as needing further support or additional learning in order to pass the assessment, then a new learning aim should be recorded as a restart with the 'Funding adjustment for prior learning' completed to account for the new learning required to pass the resit. You must not reopen a completed learning aim record.  | We will recover all 2017 to 2018 on-programme funding and any additional achievement funding where applicable, as funding was earned in the year in which learning was originally recorded as complete. |
| <b>6.</b><br><b>Changes in the 'Learning planned end date' between funding years</b><br><br><b>BIRST NAME:</b><br><b>Planned end date changes</b> | All learning aims where:<br>The 2016 to 2017 'Learning actual end date' reported at R14 is null or after 31 July 2017 <b>And</b> the 2016 to 2017 'Learning start date' equals the 2017 to 2018 'Learning start date' <b>And</b> the 2016 to 2017 'Learning planned end date' does not equal the 2017 to 2018 'Learning planned end date'<br><b>And</b> the 2017 to 2018 'Learning actual end date' is null <b>or</b> after 31 July 2017 | Programme aims<br><br>Work placement aims<br><br>Non-regulated aims | You must not change or update the Learning planned end date after the funding qualifying period has passed, even if the learner continues on the learning aim beyond that date, as this will affect the funding claimed. You must not change this data between funding years.<br>If the planned end date has been identified after R14 as being significantly incorrect you must: <ul style="list-style-type: none"> <li>Set the Completion status to code 3 'withdrawn' and complete the Withdrawal reason using code 40 'Learner has transferred to a new learning aim with the same provider'.</li> <li>Record a Learning actual end date of 1 August 2017.</li> </ul> Record a new learning aim with the same Learning aim reference and a Learning start date of 1 August 2017 and the correct Learning planned end date. Record this aim as a restart (Learning Delivery Funding and Monitoring Type = RES), and complete the Funding adjustment for prior learning field with the percentage of learning that is still to be delivered. | We will recover any over claim of funding that has resulted from changes to this data.  |

| Report number and name   | Report logic  | Exclusions  | Action you must take   | Action we will take   |
|--|---|---|--|---|
| <b>7.</b><br><b>Changes in the 'Learning start date' between funding years</b><br><br><b>BIRST NAME:</b><br><b>Learning start date changes</b>   | All learning aims where:<br>The 2016 to 2017 'Learning start date' reported at R14 is before 31 July 2017 <b>And</b> the 2016 to 2017 'Learning planned end date' equals the 2017 to 2018 'Learning planned end date' <b>And</b> the 2016 to 2017 'Learning start date' does not equal the 2017 to 2018 'Learning start date' <b>And</b> the 2017 to 2018 'Learning actual end date' is null <b>or</b> after 31 July 2017 | Programme aims<br><br>Work placement aims<br><br>Non-regulated aims | You must not change or update the Learning start date between years, as this will affect the funding claimed.<br><br>You must record the start date returned in the previous funding year. If this data was found to be incorrect after the hard close for the previous ILR year, you must follow PSM guidance on correcting data errors after hard close.<br><br>If a learner has returned from a break in learning, we would expect you to report a new planned end date for delivery of the remaining learning. Failure to report this may result in us identifying additional records in this report because we match data across years using the 'learning planned end date'. | We will recover any over claim of funding that has resulted from changes to this data.<br><br>Changes to this date will result in the reporting of duplicate records, which is likely to have a negative impact upon QARs.  |
| <b>8.</b><br><b>Learners who withdraw from learning on the day they start when planned duration is longer than a day (includes breaks in learning)</b><br><br><b>BIRST NAME:</b><br><b>1 day durations</b> | All learning aims where:<br>The 'Learning start date' is the same as the 'Learning actual end date'<br><b>And</b> the 'Completion status' is 3 or 6<br><b>And</b> the planned duration is greater than 1 day  | Programme aims  | You must have evidence that learning is or has taken place (including a work placement, if the learner is taking part in a traineeship) and records are available.<br><br>If the learner withdrew without completing one episode of learning, for example without attending the first class, then they must not be included in the ILR. You <b>MUST</b> correct this data where funding has been earned.<br><br>For larger qualifications with planned durations of 14 days or less, you must be able retain evidence that shows how you planned to deliver the learning and how the learner would achieve within the planned duration reported in the ILR.                        | Where funding is earned, we may ask you to provide evidence of learning taking place. We are interested in larger qualifications which have short planned durations as this may indicate the planned duration was incorrect.<br>We will recover any funding if appropriate. |

| Report number and name   | Report logic   | Exclusions     | Action you must take   | Action we will take  |
|--|--|----------------|--|--|
| <b>9.</b><br><b>Learners who fail to achieve when planned duration is one day (includes breaks in learning and withdrawals)</b><br><br><b>BIRST NAME:</b><br><b>Day course fails</b> | All learning aims where:<br><br>The 'Learning start date' is the same as the 'Learning planned end date'<br><b>And</b> the 'Outcome' is 3 (no achievement) <b>Or</b> the 'Completion status' is 1 (The learner is continuing or intending to continue the learning activities leading to the learning aim).<br><b>And</b> the actual duration is greater than 7 days | Programme aims | <p>You must have evidence that learning is or has taken place (including a work placement, if the learner is taking part in a traineeship) and records are available.</p> <p>You are expected to monitor learner absence and implement a robust absence and withdrawal policy to ensure the progress of all learners is monitored.</p> <p>A learner must be able to achieve their learning in the time available. If they cannot do this, they are ineligible for funding. You must be able retain evidence that shows how you planned to deliver the learning and how the learner would achieve within the planned duration reported in the ILR.</p> <p>If the learner withdraws without completing one episode of learning, for example without attending the first class, then they must not be included in the ILR. You <b>MUST</b> correct this data where funding has been earned.</p> | Where funding is earned, we may ask you to provide evidence of learning taking place. We are interested in larger qualifications which have short planned durations as this may indicate the planned duration was incorrect. We will recover any funding if we are satisfied it has been claimed in error. |
| <b>10.</b><br><b>Breaks in learning which exceed 12 months/365 days</b><br><br><b>BIRST NAME:</b><br><b>Breaks in learning</b>   | All learning aims where:<br>The 'Completion status' is 6 (learner has temporarily withdrawn from the learning aim due to an agreed break in learning) <b>And</b> there is no corresponding aim recorded with the 'Restart indicator'<br><b>And</b> the 'Learning actual end date' was 365 or more days before the ILR return close date                              |                | <p>You must not record a break in learning unless you and the learner have agreed this and the learner intends to return to learning at a later point, and there is supporting evidence in the learner file.</p> <p>Learners on a break in learning in 2016 to 2017 who withdraw or fail to return to learning must be recorded with a completion status of 3 – 'The learner has withdrawn from the learning activities leading to the learning aim' and the relevant code in the Withdrawal reason field.</p>   | Failure to report learners as restarting will have a negative impact on QARs.  |

| Report number and name   | Report logic  | Exclusions  | Action you must take   | Action we will take   |
|--|---|---|--|---|
| <p><b>11.</b></p> <p><b>Overlapping programmes being delivered across multiple providers (apprenticeships and traineeships)</b></p> <p><b>BIRST NAME: Overlapping programmes</b></p> | <p>All programme aims where the following data matches between two providers:</p> <p>‘UKPRN’<br/> <b>And</b> ‘ULN’<br/> <b>And</b> ‘Learning aim reference’</p> <p><b>And</b> the ‘Learning start date’ and ‘Learning actual end date’ indicate learning has/is taking place simultaneously</p> | <p>Component aims</p> <p>Generic ULNs<br/> (‘9999999999’)</p> | <p>You should check that data such as learning start dates and/or learning actual end dates have been correctly reported and data is complete where learners have left learning.</p> <p>If you confirm the learner is undertaking a programme elsewhere, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the overlapping instance of the learning aim, you <b>MUST</b> take the action specified:</p> <ul style="list-style-type: none"> <li>• If you know that the learner(s) transferred or left learning with you, you must ensure withdrawals or transfers are reported to us in a timely manner, and report an accurate learning actual end date.</li> <li>• You need to agree which learners belong to you and which belong to your subcontractors (or the other provider). For provision such as apprenticeships this should be identifiable from sources such as the contract for delivery between the provider and the employer.</li> <li>• You or the other provider must then agree who will correct records by coding the aims as funding model ‘99’. If one of the providers cannot evidence learning being delivered, they must remove the learning aim records.</li> <li>• A traineeship programme must be closed at the point at which the learners starts an apprenticeship, as they are deemed to have achieved the programme (any English and maths components can remain open).<br/> A learner already on an apprenticeship is ineligible to start a traineeship.</li> </ul> <p>Where the learners have transferred to you through action by us (for example, termination of previous provider’s contract) there is no action to take.</p> | <p>Where there is a UKPRN match, we may investigate issues and take steps to recover funding.</p> |

| Report number and name   | Report logic   | Exclusions  | Action you must take   | Action we will take   |
|--|--|---|--|---|
| <b>12.</b><br><b>Provision delivered outside England</b><br><br><b>BIRST NAME:</b><br><b>Non-English provision</b>   | All learning aims where:<br><br>The 'Delivery location postcode' is not in England<br><b>Or</b> , for apprenticeships and traineeships, the workplace location is not in England   | Learners in the armed forces<br><br>Generic postcodes | You should check that postcode and employer data has been correctly reported and data is complete.<br><br>You must not claim funding or require a learner to take out a loan for any provision that is delivered to a learner whose learning is taking place outside England unless we give you permission before learning starts. This includes provision delivered through distance learning to learners outside England.<br><br>Apprentices must spend at least 50% of their working hours in England over the duration of the apprenticeship. You must develop arrangements with the relevant devolved administration if you are planning to deliver to apprentices who do not spend at least 50% of their working hours in England over the duration of their apprenticeship, including time spent on off-the-job training.<br><br>If you are claiming funding and have not been given permission by us to deliver outside England, you <b>MUST</b> recode the aims with Funding model code 99. | We may ask you to provide evidence of us giving you permission to deliver outside England. We will recover funding if we are satisfied the learning is ineligible for funding.  |
| <b>13.</b><br><b>Apprentices withdrawing within 14 days of an additional payment being earned</b><br><br><b>BIRST NAME:</b><br><b>Withdrawals with additional payments</b> | All programme aims where:<br><br>The 'Learning actual end date' is not null<br><b>And</b> the calculated duration of the programme is between 90-104 days or 365-379 days<br><b>And</b> we have paid an additional payment | Apprenticeship component aims                         | It is sufficient for the Learning actual end date held in this field to be accurate to within a week, providing that any approximation does not result in a learner being wrongly included or excluded in the funding calculations.<br><br>You must have, and be able to provide, evidence of learning taking place on the date the additional payment was earned. If an additional payment has been earned and the learner was not in learning on that day, you must report the accurate Learning actual end date.<br><br>The 'Date applies to' for the latest Learning Delivery FAM record with FAM Type = ACT (on the programme aim and any English or maths aims) must be set to the Learning actual end date of the aim.  | We may ask you to provide evidence of learning taking place on the date additional payments were earned. We will recover funding for these payments if we are satisfied the learner was ineligible for the additional payment(s). |

| Report number and name   | Report logic  | Exclusions                    | Action you must take  | Action we will take  |
|--|---|-------------------------------|---|--|
| <b>14.</b><br><b>Small Employer Waiver</b><br><br><b>BIRST NAME:</b><br><b>Small employer waiver</b>   | All programme aims where:<br><br>the 'Employer identifier' reported in the ILR indicates that the employer (or their employer group) employs more than 49 staff   | Apprenticeship component aims | <p>Before any apprenticeship starts, you must have evidence that the employer is eligible for waiving the employer contribution.</p> <p>The employer must provide evidence that they employed an average of 49 or fewer employees in the 365 days before the apprentice was recruited. This number must cover the whole organisation, including any connected companies, and not individual sites or locations.</p> <p>If this average was 49, the first apprentice is eligible for the waiver, subsequent apprentices are ineligible.</p> <p>If they are not eligible, you MUST remove the SEM flag in the ILR for that learner.</p> | We compare ILR data with other sources such as Companies House. We will ask you for evidence of eligibility where we believe that the employer is ineligible, and will recover funding from errors.  |
| <b>15.</b><br><b>Apprentices withdrawing from existing frameworks or standards and restarting on funding model 36.</b><br><br><b>BIRST NAME:</b><br><b>Funding model 36 restarts</b> | All programme aims where:<br>The 'Funding model' is 36<br><b>And</b> the 'Restart indicator' is returned <b>Or</b> an 'Original learning start date' of before 1 May 2017 is returned <b>Or</b><br>The 'Funding model' is 35<br><b>And</b> the 'Outcome' of the programme is 3 or 6 <b>And</b><br>there are no programmes for the same ULN reported on 'Funding model' 35 after the 'Learning actual end date'<br><b>And</b> there are records for the same ULN and programme on 'Funding model' 36 | Apprenticeship component aims | <p>The rules and eligibility for an apprenticeship programme that originally started under Funding model 35 or 81 will continue to apply for the lifetime of the programme.</p> <p>You must not withdraw learners from programmes and restart them on Funding model 36 solely to take advantage of the new funding system. Learners who have transferred to a new provider are expected to continue being funded under their existing funding model.</p>  | If we identify a UKPRN match, we may ask you to provide evidence as to why the learner restarted under funding model 36. We will ask you to recode aims under their previous funding model if we are satisfied the learner is still eligible to be funded under previous arrangements. |

| Report number and name  | Report logic   | Exclusions   | Action you must take   | Action we will take  |
|---|--|--|--|--|
| <p><b>16.</b></p> <p><b>Recording co-investment payments</b></p> <p><b>BIRST NAME:</b></p> <p><b>Recording co-investment payments</b></p> | <p>All programme aims where:</p> <p>The ILR 'Funding model' is 36</p> <p><b>And</b> we have calculated that the employer needs to co-invest</p> <p><b>And</b> the sum of any 'PMR' records is less than the calculated co-investment value</p> | <p>Apprenticeship component aims.</p> <p>Funding above the funding band maximum</p> <p>Employers delivering to their own employees (recorded under LDM 356).</p> <p>Apprentices eligible for the small employer waiver at the start of the programme</p> | <p>If co-investment applies, you must collect payments from the employer and report these payments in the ILR by the quarterly review points in June, September, December and March.</p> <p>To record these payments on the ILR you must complete the 'Apprenticeship financial type' field with a 'Payment Record'. You must record a separate payment (PMR) record for each payment that the employer makes to you; this should cover payments across the apprenticeship, not just for the current year's ILR collection.</p> <p>If you are delivering apprenticeships to your own employees, you must report these learners with the learning delivery monitoring code '356' – 'Apprenticeship being delivered to own employees'.</p> <p>If the small employer waiver applies, you must report the 'SEM' flag in the ILR at the start of the programme. Reporting the SEM flag after the start month results in co-investment being calculated in the months before the flag was added. This may continue to appear in this report even if the waiver is recorded in future months but we will correct this data.</p> | <p>We will not pay the completion element for the programme if insufficient co-investment has been collected.</p> <p>Failure to collect sufficient co-investment by the quarterly review point may affect growth requests.</p> |



| Report number and name   | Report logic   | Exclusions   | Action you must take   | Action we will take  |
|--|--|--|--|--|
| <p><b>17.</b></p> <p><b>Apprentices who are also being funded for English and/or maths provision through the Adult Education Budget</b></p> <p><b>BIRST NAME: English and maths learning aims in AEB</b></p> | <p>All English and maths aims where the following match: 'ULN'</p> <p><b>And</b> the 'Funding model' is 36 for the apprenticeship</p> <p><b>And</b> the 'Funding model' is 35 for English or maths</p> <p><b>And</b> the 'Learning start date' of any English or maths aim is after the 'Learning start date' of the apprenticeship</p> <p><b>And</b> the 'Learning start date' of any English or maths aim is before the 'Learning actual end date' of the apprenticeship</p> | <p>Apprenticeship programmes on funding models 35 and 81</p> <p>Generic ULNs ('999999999')</p> | <p>You must not claim English and maths funding through the Adult Education Budget (AEB) for an apprentice who started their programme on or after 1 May 2017.</p> <p>If you confirm the learner is undertaking an apprenticeship elsewhere, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the apprenticeship, you must record the English and maths aims with Funding model code 99, or record the apprenticeship as withdrawn if this applies.</p> | <p>Failure to correct data where there is a UKPRN match will result in a funding recovery.</p> |

| Report number and name  | Report logic   | Exclusions  | Action you must take   | Action we will take   |
|---|--|---|--|---|
| <b>18.</b><br><b>Learners repeating an identical programme (no restarts, match programme type and framework and pathway, or standard)</b><br><br><b>BIRST NAME:</b><br><b>Repeat programmes</b> | <p>All new and continuing programme aims where the following data matches:</p> <p>‘ULN’</p> <p><b>And</b> ‘Programme type’</p> <p><b>And</b> ‘Framework code’</p> <p><b>And</b> ‘Apprenticeship pathway’</p> <p><b>And</b> ‘Apprenticeship standard code’</p> <p><b>And</b> the ‘Learning actual end date’ of the previous instance is on or after 01/08/2015</p> <p><b>And</b> the ‘Learning start date’ is after the ‘Learning actual end date’ of the previous instance</p> <p><b>And</b> the ‘Outcome’ of the previous instance is 1</p> | <p>Component aims</p> <p>Generic ULNs<br/>(‘999999999’)</p> | <p>You should check that data such as the Learning aim reference or ULN has been recorded correctly. You must then use the LRS and check with the learner where they have not declared previous learning to you, retaining evidence of this.</p> <p>If you confirm the learner has achieved the programme in question, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the previous instance of the learning aim, you <b>MUST</b> correct this data by recoding the aims with Funding model code 99. The only exceptions is where that framework or standard allows ‘sub-pathways’, in which case you must ensure that the funding claimed (including any price negotiated with the employer) reflects any overlap in content.</p> | <p>Failure to correct data where there is a UKPRN match will result in a funding recovery. Where applicable, we may ask provide evidence showing that a different sub-pathway is being delivered, and that you have adjusted the funding claim appropriately to account for any overlap of content.</p> |

| Report number and name  | Report logic  | Exclusions  | Action you must take  | Action we will take  |
|---|---|---|---|--|
| <p><b>19.</b></p> <p><b>Learners undertaking level 2 or below in English and maths within an apprenticeship when they have already achieved a level 2</b></p> <p><b>BIRST NAME: English and maths eligibility</b></p> | <p>All English and maths aims where the following match:</p> <p>‘ULN’</p> <p><b>And</b> the ‘Learning actual end date’ of the previous aim is on or after 01/08/2015</p> <p><b>And</b> the ‘Learning start date’ of the new aim is after the ‘Learning actual end date’ of the previous aim</p> <p><b>And</b> the notional level of the previous aim is 2</p> <p><b>And</b> the ‘Outcome’ of the previous aim is 1</p> <p><b>And</b>, for achieved GCSEs the outcome grade is A* to C (or 4 to 9)</p> | <p>Generic ULNs (‘9999999999’)</p> <p>GCSEs where outcome grade was not A* to C (or 4 to 9)</p> <p>Level 2 aims that are not a functional skill or GCSE</p> | <p>You should check that data such as the Learning aim reference or ULN has been recorded correctly. You must then use the LRS and check with the learner where they have not declared previous learning to you, retaining evidence of this.</p> <p>If you confirm the learner has achieved the aim in question, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the previous instance of the learning aim, you <b>MUST</b> correct this data by recoding the aims with Funding model code 99 or follow PSM guidance for correcting data errors after hard close for the previous ILR year.</p> | <p>Failure to correct data where there is a UKPRN match will result in a funding recovery.</p> |

| Report number and name  | Report logic  | Exclusions                        | Action you must take   | Action we will take  |
|---|---|-----------------------------------|--|--|
| <p><b>20.</b></p> <p><b>Learners who have achieved a full level 2 qualification (or higher) and are fully funded for a further level 2 entitlement aim</b></p> <p><b>BIRST NAME: Level 2 entitlement exceptions</b></p> | <p>All new or continuing full level 2 aims where the following match:</p> <p>‘ULN’</p> <p><b>And</b> the new aim is funded through AEB</p> <p><b>And</b> the new aim is fully-funded</p> <p><b>And</b> the previous aim is a full level 2 or higher</p> <p><b>And</b> the ‘Learning actual end date’ of the previous aim is on or after 01/08/2015</p> <p><b>And</b> the ‘Learning start date’ is after the ‘Learning actual end date’ of the previous aim</p> <p><b>And</b> the ‘Outcome’ of the previous aim is 1</p> <p><b>And</b> the level of the previous aim is greater than, or equal to, 2</p> | <p>Generic ULNs ('999999999')</p> | <p>You should check that data such as the Learning aim reference or ULN has been recorded correctly. You must then use the LRS and check with the learner where they have not declared previous learning to you, retaining evidence of this.</p> <p>If you confirm the learner has achieved the aim in question, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the previous instance of the learning aim, you <b>MUST</b> correct this data by recoding the aims with Funding model code 99.</p> | <p>Failure to correct data where there is a UKPRN match will result in a funding recovery.</p> |

| Report number and name   | Report logic  | Exclusions                        | Action you must take   | Action we will take  |
|--|---|-----------------------------------|--|--|
| <p><b>21.</b></p> <p><b>Learners who have achieved a full level 3 qualification (or higher) and are subsequently funded (full or co-) for a further level 3 entitlement aim</b></p> <p><b>BIRST NAME: Level 3 entitlement exceptions</b></p> | <p>All new or continuing full level 3 aims where the following match:</p> <p>‘ULN’</p> <p><b>And</b> the new aim is funded through AEB</p> <p><b>And</b> the previous aim is a full level 3 or higher</p> <p><b>And</b> the ‘Learning actual end date’ of the previous aim is on or after 01/08/2016</p> <p><b>And</b> the ‘Learning start date’ is after the ‘Learning actual end date’ of the previous aim</p> <p><b>And</b> the ‘Outcome’ of the previous aim is 1</p> <p><b>And</b> the level of the previous aim is greater than, or equal to, 3</p> | <p>Generic ULNs ('999999999')</p> | <p>You should check that data such as the Learning aim reference or ULN has been recorded correctly. You must then use the LRS and check with the learner where they have not declared previous learning to you, retaining evidence of this.</p> <p>If you confirm the learner has achieved the aim in question, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the previous instance of the learning aim, you <b>MUST</b> correct this data by recoding the aims with Funding model code 99.</p> | <p>Failure to correct data where there is a UKPRN match will result in a funding recovery.</p> |

| Report number and name   | Report logic   | Exclusions  | Action you must take  | Action we will take   |
|--|--|---|---|---|
| <b>22.</b><br><b>Traineeships where the learner is studying a full level 2 or level 3 qualification concurrently</b><br><br><b>BIRST NAME:</b><br><b>Traineeships and further learning</b> | All traineeship programme aims where the following data matches between two providers:<br>‘ULN’ <b>And</b> the overlapping aim is a full level 2, full level 3, or higher<br><b>And</b> the overlapping aim is NOT delivered as part of a traineeship<br><b>And</b> the ‘Learning start date’ and ‘Learning actual end’ indicate learning has/is taking place simultaneously                     | Traineeship component aims<br><br>Generic ULNs (‘999999999’)  | Progressing to further learning is a successful outcome of a traineeship programme.<br><br>If you confirm the learner was already taking learning at level 3 or above before starting the traineeship or we have identified a UKPRN match, the traineeship will be deemed to be ineligible and you must recode the programme with Funding model code 99.<br><br>If you confirm that a learner has started an identified aim since starting their traineeship programme, or we have identified a UKPRN match, the learner will be deemed to have achieved the programme and it must be recorded as completed with a Learning actual end date before the new aim commenced. | Failure to correct data where there is a UKPRN match will result in a funding recovery. |
| <b>23.</b><br><b>Traineeships where the learner has already achieved a full Level 3</b><br><br><b>BIRST NAME:</b><br><b>Traineeship level 3 exceptions</b>                                 | All new or continuing traineeship programme aims where the following match:<br>‘ULN’ <b>And</b> the previous aim is a full level 3 or higher<br><b>And</b> the ‘Learning actual end date’ of the previous aim is on or after 01/08/2016<br><b>And</b> the ‘Learning start date’ is after the ‘Learning actual end date’ of the previous aim<br><b>And</b> the ‘Outcome’ of the previous aim is 1 | Traineeship component aims<br><br>16-19 funded traineeships (previously EFA-funded)<br><br>Generic ULNs (‘999999999’) | You should check that data such as the Learning aim reference or ULN has been recorded correctly. You must then use the LRS and check with the learner where they have not declared previous learning to you, retaining evidence of this.<br><br>If you confirm the learner has achieved the aim in question, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the previous instance of the learning aim, you <b>MUST</b> correct this data by recoding the aims with Funding model code 99.   | Failure to correct data where there is a UKPRN match will result in a funding recovery. |

| Report number and name  | Report logic  | Exclusions   | Action you must take  | Action we will take  |
|---|---|--|---|--|
| <p><b>24.</b></p> <p><b>Trainees who have previously achieved an apprenticeship or traineeship</b></p> <p><b>BIRST NAME:</b></p> <p><b>Traineeship programme exceptions</b></p> | <p>All new or continuing traineeship programme aims where the following match: 'ULN'</p> <p><b>And</b> the 'Learning actual end date' of the previous apprenticeship or traineeship programme is on or after 01/08/2015</p> <p><b>And</b> the 'Learning start date' of the traineeship programme is after the 'Learning actual end date' of the previous apprenticeship or traineeship programme</p> <p><b>And</b> the 'Outcome' of the previous apprenticeship or traineeship programme is 1</p> | <p>16-19 funded traineeships (previously EFA-funded)</p> <p>Generic ULNs ('999999999')</p> | <p>You should check that data such as the Learning aim reference or ULN has been recorded correctly. You must then use the LRS and check with the learner where they have not declared previous learning to you, retaining evidence of this.</p> <p>If you confirm the learner has achieved the programme in question, <b>or</b> we have identified a match between your UKPRN (or the reported partner UKPRN) and that reported for the previous programme, you <b>MUST</b> correct this data by recoding the aims with Funding model code 99. Learners who have previously completed a traineeship or apprenticeship are deemed to be work ready and have sufficient employment experience.</p> | <p>Failure to correct data where there is a UKPRN match will result in a funding recovery.</p> |

| Report number and name  | Report logic   | Exclusions | Action you must take  | Action we will take   |
|---|--|------------|---|---|
| <b>25.</b><br><b>Loans learning not being recorded in ILR</b><br><br><b>BIRST NAME:</b><br><b>Loans reporting in ILR</b>  | There is <b>no</b> corresponding ILR record where ILR and SLC data is joined as:<br>'UKPRN' <b>And</b> 'ULN' <b>And</b> 'Learning aim reference' <b>And</b> the 'Learning actual end date' reported by SLC is on or after 01/08/2017 or is not returned <b>And</b> the 'Funding model' reported in the ILR is 99 <b>And</b> the ADL indicator is 1   |            | You must ensure that you report loans-funded activity in the ILR with funding model 99 and the advanced learning loans indicator.<br><br>You should check against the Learning Provider Portal for any data held for learners and ensure it is correct for any learners identified.   | We may ask you to provide evidence to support the accuracy of the data returned in the ILR. If the loans funding is found to be ineligible and does not support the funding received from SLC, we will take steps that may affect your future loans facility. |
| <b>26.</b><br><b>Loans funding and AEB or apprenticeships funding claimed for the same learning aim</b><br><br><b>BIRST NAME:</b><br><b>Loans duplicate funding</b> | There <b>is</b> corresponding ILR record where ILR and SLC data is joined on:<br>'UKPRN' <b>And</b> 'ULN' <b>And</b> 'Learning aim reference' <b>And</b> the 'Learning actual end date' reported by SLC is on or after 01/08/2017 or is not returned <b>And</b> (the 'Funding model' reported in the ILR is 35 or 36 <b>Or</b> the 'Funding model' reported in the ILR is 81 and the 'Programme type' is 25) |            | If a learning aim is being financed through a loan, the learning aim record must be reported in the ILR with Funding model 99 and ADL = 1.<br><br>You should check against the Learning Provider Portal for any data held for learners and ensure it is correct for any learners identified.<br><br>Learners who are already eligible for adult skills or apprenticeship funding should not be moved onto loans funding in order to preserve achievement rates. | We may ask you to provide evidence to support the data returned in the ILR. If we are satisfied that funding is ineligible, we will take steps to recover funding through SLC or recover any of our funding as appropriate.                                   |



| Report number and name  | Report logic  | Exclusions | Action you must take   | Action we will take   |
|---|---|------------|--|---|
| <b>27.</b><br><b>Loans where the ILR planned duration is longer than the planned duration of the loan</b><br><br><b>BIRST NAME:</b><br><b>Loans planned duration exceptions</b> | All aims funded through a loan where:<br><br>There is no 'Learning actual end date' in the ILR<br><b>And</b><br>The planned duration in the ILR is more than 30 days after the SLC planned duration<br><b>And</b> the 'Learning start date' in the ILR is within a week of the SLC start date |            | <p>You must not change or update the learning planned end date after the funding qualifying period has passed, even if the learner continues on the learning aim beyond that date. You should not change this data between funding years.</p> <p>You must check this report in conjunction with report 6 (changes to planned end date across funding years) and action accordingly.</p> <p>You and the learner must confirm the information in the learner file is correct and, therefore, the information you have reported to the SLC through the Learning Provider Portal and to us in the ILR is correct. If the data in the ILR is correct (and you have followed the correct procedure for correcting any data recording errors), you must then ensure any changes are carried out on the SLC Learning Provider Portal with a change of circumstances form. This would ensure your payment profile is updated.</p> | We may ask you to provide evidence to support the data returned in the ILR. If we are satisfied that loans funding is being drawn down too quickly, we will take steps to correct this through SLC.                 |
| <b>28.</b><br><b>19 – 23 learners and prior attainment</b><br><br><b>BIRST NAME:</b><br><b>Loans 19-23 eligibility</b>  | All aims funded through a loan where:<br>The learner is aged 19 to 23<br><b>And</b> the learner's prior attainment is below level 3<br><b>And</b> there is no ILR record of the learner achieving a full level 3 qualification or higher in the last 2 years                                  |            | <p>You must be able to provide evidence of the learner assessment and enrolment that confirms if they had achieved a full level 3 qualification prior to commencing the loans-funded aim. If the learner had not achieved a full level 3, you must be able to provide evidence that the learner was made aware that they have an entitlement to funding through the adult education budget before applying for a loan.</p> <p>If you have an AEB funding agreement with us and the learner did not have a full level 3, you <b>MUST</b> withdraw the loan and fund the learner through the adult education budget and reduce their fee liability to zero.</p>  | We may ask you to provide evidence to support the application for a loan. If you have an AEB funding agreement and we are satisfied that the loan is ineligible, we will take steps to recover funding through SLC. |

| Report number and name  | Report logic  | Exclusions                | Action you must take   | Action we will take   |
|---|---|---------------------------|--|---|
| <b>29.</b><br><b>Learners reported as withdrawn or on a break in learning where the loan is still reported by SLC as being active</b><br><br><b>BIRST Loans withdrawals not reported to SLC</b> | <p>All aims funded through a loan where:</p> <p>The 'Completion status' in the ILR is 3 or 6</p> <p><b>And</b> there are no future episodes of learning on the same aim in the ILR</p> <p><b>And</b> the 'Learning actual end date' reported in the ILR is 3 months or earlier than the SLC planned or actual end date</p> <p><b>And</b> the loan is still reported by SLC as 'in attendance'</p> |                           | <p>If a learner's details or circumstances change, you must tell the SLC as soon as you are aware as this will reduce the risk of a learner becoming legally responsible for a loan for a qualification they are no longer studying.</p> <p>If a learner changes provider during their learning, you must inform SLC through the Learning Provider Portal and the learner must be marked as a withdrawal from your organisation.</p>   | <p>Failure to notify SLC that the learner has left learning will result in us taking steps to recover funding through SLC.</p>  |
| <b>New Report</b>   |   |                           |  |   |
| <b>30.</b><br><b>Apprentices studying English or maths at level 1 or below</b><br><br><b>BIRST English and maths below level 2</b>  | <p>All English and maths aims where:</p> <p>The funding model is 36</p> <p><b>And</b> the aim level is 1 or below</p> <p><b>And</b> the learner is not reported with an EHC plan</p> <p><b>And</b> the programme type is 3 <b>Or</b> the notional end level is 2</p>  | Learners with an EHC plan | <p>We will fund functional skills English or maths at level 1 or below if you have conducted a thorough initial assessment using current assessment tools based on the national literacy and numeracy standards and core curriculum that shows the apprentice needs to study a lower level before being able to achieve their level 2.</p> <p>If you cannot evidence an initial assessment demonstrating the learner's eligibility to study at level 1 or below, you must record these aims as funding model '99'. You must not retrospectively assess a learner's eligibility for this provision.</p> | <p>We may ask you to provide evidence to support the data returned in the ILR. If we are satisfied that funding is ineligible, we will take steps to recover funding.</p> |

## Annex C: A list of all the fields in the BIRST reports

| Field type | Field name                             | Reference                                   | Reports                   |
|------------|--|---|---------------------------|
| Common     | ILR return                             | ILR data collections timetable              | All                       |
| Common     | Report ID                              | Identifier applied to each report row       | All                       |
| Common     | UKPRN                                  | ILR specification 2017 to 2018              | All                       |
| Common     | Organisation name                      | The organisation name as appears in the Hub | All                       |
| Common     | Subcontracted or partnership UKPRN     | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Subcontracted or partnership name      | The organisation name as appears in the Hub | All exc. 25               |
| Common     | Unique learner number                  | ILR specification 2017 to 2018              | All                       |
| Common     | Learner reference number               | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Learning aim reference                 | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Aim sequence number                    | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Software supplier aim identifier       | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Provider specified delivery monitoring | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Provider specified learner monitoring  | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Funding line type                      | Funding calculation output                  | All exc. 25               |
| Common     | Funding model                          | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Advanced Learner Loans indicator       | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Programme type                         | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Apprenticeship standard code           | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Framework code                         | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Apprenticeship pathway                 | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Learning start date                    | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Learning planned end date              | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Learning actual end date               | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Completion status                      | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Outcome                                | ILR specification 2017 to 2018              | All exc. 25               |
| Common     | Year to date funding                   | Funding calculation output                  | All exc. 3,10,25,27,28,29 |
| Common     | Employer levy paid                     | Funding calculation output                  | All exc. 3,10,25,27,28,29 |
| Common     | ESFA co-investment paid                | Funding calculation output                  | All exc. 3,10,25,27,28,29 |
| Common     | Employer co-investment required        | Funding calculation output                  | All exc. 3,10,25,27,28,29 |

| Field type    | Field name  | Reference                      | Reports                           |
|---------------|---|--------------------------------|-----------------------------------|
| Common        | ESFA full funding paid  | Funding calculation output     | All exc. 3,10,25                  |
| Supplementary | UKPRN of previous/other provider                              | ILR specification 2017 to 2018 | 1,2,11,15,17,18,19,20,21,22,23,24 |
| Supplementary | Subcontracted or partnership UKPRN of previous/other provider | ILR specification 2017 to 2018 | 1,2,11,15,17,18,19,20,21,22,23,24 |
| Supplementary | Learning start date at previous/other provider                | ILR specification 2017 to 2018 | 1,2,11,15,17,18,19,20,21,22,23,24 |
| Supplementary | Learning actual end date at previous/other provider           | ILR specification 2017 to 2018 | 1,2,11,15,17,18,19,20,21,22,23,24 |
| Supplementary | UKPRN match   | Derived field                  | 1,2,11,15,17,18,19,20,21,22,23,24 |
| Supplementary | Other funding adjustment                                      | ILR specification 2017 to 2018 | 4                                 |
| Supplementary | Learning actual end date in previous year                     | ILR specification 2017 to 2018 | 5                                 |
| Supplementary | Learning planned end date in previous year                    | ILR specification 2017 to 2018 | 6                                 |
| Supplementary | Learning start date in previous year                          | ILR specification 2017 to 2018 | 7                                 |
| Supplementary | Length of break of learning                                   | Derived field                  | 10                                |
| Supplementary | Learning aim reference of previous/other aim                  | ILR specification 2017 to 2018 | 11,17,19,20,21,22,23,24           |
| Supplementary | Programme type at previous/other provider                     | ILR specification 2017 to 2018 | 11,17,19,20,21,22,23,24           |
| Supplementary | Apprenticeship standard code at previous/other provider       | ILR specification 2017 to 2018 | 11,17,19,20,21,22,23,24           |
| Supplementary | Framework code at previous/other provider                     | ILR specification 2017 to 2018 | 11,17,19,20,21,22,23,24           |
| Supplementary | Apprenticeship pathway at previous/other provider             | ILR specification 2017 to 2018 | 11,17,19,20,21,22,23,24           |
| Supplementary | Delivery location postcode                                    | ILR specification 2017 to 2018 | 12                                |
| Supplementary | Workplace location postcode                                   | EDRS data                      | 12                                |
| Supplementary | Employer identifier   | ILR specification 2017 to 2018 | 12,14                             |
| Supplementary | Payments received   | ILR specification 2017 to 2018 | 16                                |
| Supplementary | Refunds given   | ILR specification 2017 to 2018 | 16                                |
| Supplementary | Net payments received   | ILR specification 2017 to 2018 | 16                                |
| Supplementary | LPP reference   | Learning provider portal       | 25,26,27,28,29                    |
| Supplementary | LPP application state   | Learning provider portal       | 25,26,27,28,29                    |
| Supplementary | LPP start date  | Learning provider portal       | 25,26,27,28,29                    |
| Supplementary | LPP end date to/from  | Learning provider portal       | 25,26,27,28,29                    |